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1919 2003

PTO/SB/17 (05-03)
Approved for use through 04/30/2003. OMB 0651-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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FEE TRANSMITTAL for FY 2003

Effective 01/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ 686.00

Complete if Known

Application Number 09/885,319
Filing Date June 19, 2001
First Named Inventor Mark A. Stan
Examiner Name Mutschler, Brian L.
Art Unit 1753
Attorney Docket No. 1613370-0006

RECEIVED
JUN 13 2003
TC 1700

METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☒ Deposit Account:

Deposit Account Number 23-1703
Deposit Account Name White & Case LLP

The Director is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments
☐ Charge any additional fee(s) during the pendency of this application
☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
1001 750	2001 375	Utility filing fee	
1002 330	2002 165	Design filing fee	
1003 520	2003 260	Plant filing fee	
1004 750	2004 375	Reissue filing fee	
1005 160	2005 80	Provisional filing fee	

SUBTOTAL (1) (\$)

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims	Extra Claims	Fee from below	Fee Paid
45	-20** = 8	X 18	= 144
Independent Claims 7	-3** = 3	X 84	= 252
Multiple Dependent			

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
1202 18	2202 9	Claims in excess of 20
1201 84	2201 42	Independent claims in excess of 3
1203 280	2203 140	Multiple dependent claim, if not paid
1204 84	2204 42	** Reissue independent claims over original patent
1205 18	2205 9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$ 396.00

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
1051 130	2051 65	Surcharge - late filing fee or oath	
1052 50	2052 25	Surcharge - late provisional filing fee or cover sheet	
1053 130	1053 130	Non-English specification	
1812 2,520	1812 2,520	For filing a request for ex parte reexamination	
1804 920*	1804 920*	Requesting publication of SIR prior to Examiner action	
1805 1,840*	1805 1,840*	Requesting publication of SIR after Examiner action	
1251 110	2251 55	Extension for reply within first month	110.00
1252 410	2252 205	Extension for reply within second month	
1253 930	2253 465	Extension for reply within third month	
1254 1,450	2254 725	Extension for reply within fourth month	
1255 1,970	2255 985	Extension for reply within fifth month	
1401 320	2401 160	Notice of Appeal	
1402 320	2402 160	Filing a brief in support of an appeal	
1403 280	2403 140	Request for oral hearing	
1451 1,510	1451 1,510	Petition to institute a public use proceeding	
1452 110	2452 55	Petition to revive - unavoidable	
1453 1,300	2453 650	Petition to revive - unintentional	
1501 1,300	2501 650	Utility issue fee (or reissue)	
1502 470	2502 235	Design issue fee	
1503 630	2503 315	Plant issue fee	
1460 130	1460 130	Petitions to the Commissioner	
1807 50	1807 50	Processing fee under 37 CFR 1.17(q)	
1806 180	1806 180	Submission of Information Disclosure Stmt	180.00
8021 40	8021 40	Recording each patent assignment per property (times number of properties)	
1809 750	2809 375	Filing a submission after final rejection (37 CFR 1.129(a))	
1810 750	2810 375	For each additional invention to be examined (37 CFR 1.129(b))	
1801 750	2801 375	Request for Continued Examination (RCE)	
1802 900	1802 900	Request for expedited examination of a design application	

Other fee (specify)

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 290.00

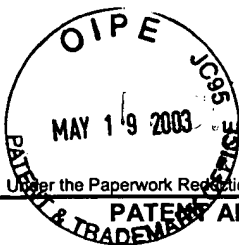
SUBMITTED BY

Name (Print/Type) James M. Wu
Registration No. (Attorney/Agent) 45,241
Telephone 65-231-0300
Signature
Date May 15, 2003

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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PATENT APPLICATION FEE DETERMINATION RECORD						Application or Docket Number 1613370-0006		
CLAIMS AS FILED – PART I								
(Column 1)		(Column 2)		(Column 3)				
FOR	NUMBER FILED	NUMBER EXTRA						
BASIC FEE (37 CFR 1.16(a))								
TOTAL CLAIMS (37 CFR 1.16(c))	37	minus 20 =	*	17				
INDEPENDENT CLAIMS (37 CFR 1.16(b))	4	minus 3 =	*	1				
MULTIPLE DEPENDENT CLAIM PRESENT (37 CFR 1.16(d))								
* If the difference in column 1 is less than zero, enter "0" in column 2.								
CLAIMS AS AMENDED – PART II								
(Column 1)		(Column 2)		(Column 3)				
AMENDMENT A	CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA					
	Total (37 CFR 1.16(c))	*	29	Minus	**	37	=	0
	Independent (37 CFR 1.16(b))	*	4	Minus	***	4	=	0
	FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(d))							
(Column 1)		(Column 2)		(Column 3)				
AMENDMENT B	CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA					
	Total (37 CFR 1.16(c))	*	45	Minus	**	37	=	8
	Independent (37 CFR 1.16(b))	*	7	Minus	***	4	=	3
	FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(d))							
(Column 1)		(Column 2)		(Column 3)				
AMENDMENT C	CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA					
	Total (37 CFR 1.16(c))	*		Minus	**		=	
	Independent (37 CFR 1.16(b))	*		Minus	***		=	
	FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(d))							

RATE	FEE
	\$
x \$	=
x \$	=
+ \$	=
TOTAL	

OR

RATE	FEE
	\$710.00
x \$18	= 306.00
x \$80	= 80.00
+ \$	=
TOTAL	1096.00

RATE	ADDITIONAL FEE
x \$	=
x \$	=
+ \$	=
TOTAL ADD'L FEE	

OR

RATE	ADDITIONAL FEE
x \$	= 0.00
x \$	= 0.00
+ \$	=
TOTAL ADD'L FEE	0.00

RATE	ADDITIONAL FEE
x \$	=
x \$	=
+ \$	=
TOTAL ADD'L FEE	

OR

RATE	ADDITIONAL FEE
x \$18	= 144.00
x \$84	= 252.00
+ \$	=
TOTAL ADD'L FEE	396.00

* If the entry in column 1 is less than the entry in column 2, write "0" in column 3.
** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 20, enter "20".
*** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 3, enter "3".
The "Highest Number Previously Paid For" (Total or Independent) is the highest number found in the appropriate box in column 1.

This collection of information is required by 37 CFR 1.16. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

11

Application of: Mark A. Stan *et al.*

Serial No.: 09/885,319

Group Art Unit: 1753

Filed: June 19, 2001

Examiner: Mutschler, Brian L.

For: **An Apparatus And Method For
Optimizing The Efficiency Of
Germanium Junctions In Multi-
Junction Solar Cells**

White & Case Docket No.: 1613370-0006

I hereby certify that this paper is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on May 15, 2003.

Melissa McCool
Name


Signature

May 15, 2003
Dated

REQUEST FOR CORRECTION OF OFFICIAL FILING RECEIPT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Enclosed please find a copy of the updated filing receipt dated January 2, 2002 for the above-captioned application, a copy illustrating the necessary corrections in red, and related supporting papers. Applicants request that the following corrections be made and that a new corrected filing receipt be issued reflecting the changes:

* Domestic Priority Data:

THIS APPLN CLAIMS BENEFIT OF 60/212,552 06/19/2000

Please make the correction and issue a corrected filing receipt. Applicants believe that no fee is due with this Request for Correction of Official Filing Receipt. However, please charge any required fee to White & Case LLP Deposit Account No. 23-1703. A copy of this sheet is enclosed.

Respectfully submitted,

Date: May 15, 2003


James M. Wu

45,241
(Reg. No.)

WHITE & CASE LLP
Patent Department
1155 Avenue of the Americas
New York, New York 10036
(650) 213-0300

Enclosures

COPY



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/885,319	06/19/2001	1753	1226	1613370-0006	5	37	4

007470
WHITE & CASE LLP
PATENT DEPARTMENT
1155 AVENUE OF THE AMERICAS
NEW YORK, NY 10036

CONFIRMATION NO. 4594

UPDATED FILING RECEIPT



OC000000007248752

Date Mailed: 01/02/2002

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Mark A. Stan, Albuquerque, NM;
Nein Y. Li, Sunnyvale, CA;
Frank A. Spadafora, Albuquerque, NM;
Hong Q. Hou, Albuquerque, NM;
Paul R. Sharps, Albuquerque, NM;
Navid S. Fatemi, Albuquerque, NM;

Domestic Priority data as claimed by applicant

THIS APPLN CLAIMS BENEFIT OF 60/212,552 06/20/2000 *
(*) Data inconsistent with PTO records.

Foreign Applications

If Required, Foreign Filing License Granted 08/11/2001

Projected Publication Date: 04/11/2002

Non-Publication Request: No

Early Publication Request: No

Title

WHITE & CASE LLP
PATENT DEPARTMENT
JAN 6 2002
RECEIVED

Apparatus and method for optimizing the efficiency of germanium junctions in multi-junction solar cells

Preliminary Class

136

**LICENSE FOR FOREIGN FILING UNDER
Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15**

GRANTED

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This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).



COPY

Express Mail No.: EL 363 986 662 US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Mark A. Stan et al.
Serial No.: To be assigned
Filed: June 19, 2000
Even Date Herewith
Title: AN APPARATUS AND METHOD FOR OPTIMIZING THE
EFFICIENCY OF GERMANIUM JUNCTIONS IN MULTI-
JUNCTION SOLAR CELLS
Atty. Docket No.: 1613370-0006

EXPRESS MAIL CERTIFICATE

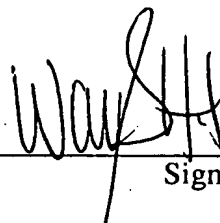
Box: Provisional Application
Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

I hereby certify that the following papers for the above-identified provisional application are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on June 19, 2000 and are addressed to:
The Assistant Commissioner for Patents, Washington, D.C. 20231

Provisional Application for Patent Cover Sheet
Fee Transmittal Form
Specification (6 pages)
Drawings (5 sheets, informal)
Return Post Card

Warren S. Heit
Typed Name



REG NO 36,828

Signature

EXPRESS MAIL NO.: EL 303900002 US

Date 06 / 19 / 00

Assistant Commissioner for Patents
Box Provisional Application
Washington, D.C. 20231

Atty. Docket 1613370.

Serial No. TBA

Sir:

Kindly acknowledge receipt of the accompanying:

- ☒ Specification and Claims 6 pages
☐ Oath or Declaration and Power of Attorney ☐ Executed ☐ Not Executed
☒ 5 Sheets of formal ☒ informal drawings
☐ Check for \$ (filing fee)
☐ Small entity declaration
☐ Assignment and Check for \$
☒ Request 37 CFR ☒ 1.53c ☐ 1.53d ☐ 1.53b
☐ Petition under 37 CFR 1.136 and Check \$

- ☐ New Appln.
☐ Continuation
☐ Divisional
☐ CIP

Other (specify) return postcard, Prov. Appl. for Patent Cover Sheet, Fee Transmittal, Express Mail Certificate
by placing your receiving date stamp hereon and mailing or returning to deliverer.


Atty Warren S. Heit

Due Date / /

37 CFR 1.8
37 CFR 1.10
By Hand



COPY

Please type a plus sign (+) in the box. → 

Approved through #31/98. OMB 0551-0067
Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

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PROVISIONAL APPLICATION FOR PATENT COVER SHEET

This is a request for filing a PROVISIONAL APPLICATION FOR PATENT under 37 CFR 1.53(c).

INVENTOR(S)					
Given Name (first and middle (if any))	Family Name or Surname		Residence (City and either State or Foreign Country)		
Mark A.	Stan		Albuquerque, NM		
<input checked="" type="checkbox"/> Additional inventors are being named on the <u>1</u> separately numbered sheet(s) attached hereto					
TITLE OF INVENTION (280 characters max)					
An Apparatus and Method for Optimizing the Efficiency of Germanium Junctions in Multi-Junction Solar Cells					
CORRESPONDENCE ADDRESS					
Direct all correspondence to:					
<input checked="" type="checkbox"/> Customer Number	007470		<input type="checkbox"/> Place Customer Number Bar Code Label here		
OR Type Customer Number here					
<input type="checkbox"/> Firm or Individual Name					
Address					
Address					
City		State	Zip		
Country		Telephone	Fax		
ENCLOSED APPLICATION PARTS (check all that apply)					
<input checked="" type="checkbox"/> Specification Number of Pages	6		<input type="checkbox"/> Small Entity Statement		
<input checked="" type="checkbox"/> Drawing(s) Number of Sheets	5		<input type="checkbox"/> Other (specify) _____		
METHOD OF PAYMENT FILING FEES FOR THIS PROVISIONAL APPLICATION FOR PATENT (check one)					
<input type="checkbox"/> A check or money order is enclosed to cover the filing fees			FILING FEE AMOUNT (\$)		
<input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge filing fees or credit any overpayment to Deposit Account Number:	23-1708		\$150.00		
The invention was made by an agency of the United States Government or under a contract with an agency of the United States Government.					
<input checked="" type="checkbox"/> No.					
<input type="checkbox"/> Yes, the name of the U.S. Government agency and the Government contract number are:					

Respectfully submitted,

SIGNATURE

TYPE OR PRINTED NAME

TELEPHONE

Warren S. Heit

(650) 213-0321

Date

June 19, 2000

REGISTRATION NO.
(if appropriate)

36,828

Docket Number:

1613370-0006

USE ONLY FOR FILING A PROVISIONAL APPLICATION FOR PATENT

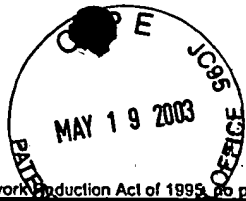
Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Box Provisional Application, Assistant Commissioner for Patents, Washington, DC 20231.

Additional Page

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Docket Number	1613370-00000	Type a plus sign (+) inside this box →	+
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Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

FEE TRANSMITTAL for FY 2000

Patent fees are subject to annual revision.
Small Entity payments must be supported by a small entity statement,
otherwise large entity fees must be paid. See Forms PTO/SB/09-12.
See 37 C.F.R. §§ 1.27 and 1.28.

TOTAL AMOUNT OF PAYMENT (\$) 150.00

Complete If Known	
Application Number	To be assigned
Filing Date	Even Date Herewith
First Named Inventor	Mark A. Stan
Examiner Name	To be assigned
Group / Art Unit	To be assigned
Attorney Docket No.	1613370-0006

METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number: 23-1708

Deposit Account Name: White & Case LLP

☒ Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17

2. ☐ Payment Enclosed:

☐ Check ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE			
Large Entity Code (\$)	Small Entity Code (\$)	Fee Description	Fee Paid
101 690	201 345	Utility filing fee	
106 310	206 155	Design filing fee	
107 480	207 240	Plant filing fee	
108 690	208 345	Reissue filing fee	
114 150	214 75	Provisional filing fee	150.00
SUBTOTAL (1)			(\$) 150.00

2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
-20**	=	X	
Independent Claims	-3**	X	
Multiple Dependent			

**or number previously paid, if greater; For Reissues, see below

Large Entity Code (\$)	Small Entity Code (\$)	Fee Description	Fee Paid
103 18	203 9	Claims in excess of 20	
102 78	202 39	Independent claims in excess of 3	
104 260	204 130	Multiple dependent claim, if not paid	
109 78	209 39	** Reissue independent claims over original patent	
110 18	210 9	** Reissue claims in excess of 20 and over original patent	
SUBTOTAL (2)			(\$) 150.00

3. ADDITIONAL FEES

Large Entity Code (\$)	Small Entity Code (\$)	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath	
127 50	227 25	Surcharge - late provisional filing fee or cover sheet.	
139 130	139 130	Non-English specification	
147 2,520	147 2,520	For filing a request for reexamination	
112 920*	112 920*	Requesting publication of SIR prior to Examiner action	
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	
115 110	215 55	Extension for reply within first month	
116 380	216 190	Extension for reply within second month	
117 870	217 435	Extension for reply within third month	
118 1,360	218 680	Extension for reply within fourth month	
128 1,850	228 925	Extension for reply within fifth month	
119 300	219 150	Notice of Appeal	
120 300	220 150	Filing a brief in support of an appeal	
121 260	221 130	Request for oral hearing	
138 1,510	138 1,510	Petition to institute a public use proceeding	
140 110	240 55	Petition to revive - unavoidable	
141 1,210	241 605	Petition to revive - unintentional	
142 1,210	242 605	Utility issue fee (or reissue)	
143 430	243 215	Design issue fee	
144 580	244 290	Plant issue fee	
122 130	122 130	Petitions to the Commissioner	
123 50	123 50	Petitions related to provisional applications	
126 240	126 240	Submission of Information Disclosure Stmt	
581 40	581 40	Recording each patent assignment per property (times number of properties)	
146 690	246 345	Filing a submission after final rejection (37 CFR § 1.129(a))	
149 690	249 345	For each additional invention to be examined (37 CFR § 1.129(b))	
Other fee (specify) _____			
Other fee (specify) _____			
* Reduced by Basic Filing Fee Paid			
SUBTOTAL (3)			(\$)

SUBMITTED BY		Complete (if applicable)	
Name (Print/Type)	Warren S. Heit	Registration No. (Attorney/Agent)	36,828
Signature		Telephone	(650) 213-0300
		Date	June 19, 2000

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